

RDS Retiree List File Layouts

As of August 30, 2005

General Information

See the Day 1 presentation materials from the RDS National Conference and other posted fact sheets on <http://rds.cms.hhs.gov> for more information.

A qualifying, covered retiree is considered eligible for the subsidy based on his/her Medicare entitlement. A qualifying, covered retiree can include the retired member of the Plan Sponsor's plan or spouses and other dependents covered by the retiree's plan who are entitled to Medicare. The covered member must be a retiree of the Plan sponsor. To be eligible for the subsidy, the qualifying, covered retiree must be:

- Part A entitled or Part B enrolled

And

- NOT enrolled in Part D

RDS will check on Medicare entitlement for Plan Sponsors by checking the system of record for this information, Medicare Beneficiary Database (MBD), and supply Plan Sponsors response records indicating the period of time during the plan year for which the Plan Sponsor may claim the subsidy for that individual.

A record must be submitted for each person the Plan Sponsor intends to claim for the subsidy. This record must contain the SSN or HICN for each individual whom the Plan Sponsor is seeking the subsidy. An application must have at least one qualifying, covered retiree approved by RDS for a subsidy period in order to be approved. An initial file must be submitted at the time of application by the application filing deadline. All retiree detail records on the initial file submission must have the value of "ADD" in the transaction type. Subsequent monthly files must be submitted with only adds, deletes, or updates to the initial file records submitted. Only one file per application will be accepted. Files submitted using the mainframe to mainframe transfer option may contain concatenated files for multiple applications as long as the detail records are separated by the corresponding header and trailer records. However, response files will be sent separately. The files transferred via HTTPS to the RDS Secure Website do not have header and trailer records and must be uploaded one per application.

An application must be started on the RDS Secure Website before a retiree file can be submitted. The application number assigned by RDS must be posted on the retiree file as indicated in the following file layouts. In addition, each retiree detail record must contain the unique benefit option identifier assigned by the Plan Sponsor on the application of the benefit option under which the individual is covered.

For application plan years ending in 2006, the initial retiree file must be submitted by September 30, 2005 unless an extension has been granted. For subsequent plan years, the initial retiree file must be received by RDS 90 days prior to the start of the application

plan year. Subsequent monthly updates should start in the month following the date RDS returns the response file for the initial submission. A monthly update file is not required if the Plan Sponsor has no changes to previous submissions. Full file replacements are not acceptable for subsequent monthly submissions. Those files should only contain adds, deletes and updates to previous submissions.

To process a retiree file, RDS will query the MBD and determine if each individual is a qualifying, covered retiree eligible for the subsidy based on Medicare entitlement. RDS will then determine the periods of time the retiree can be claimed for the subsidy during the plan year. These periods will be posted in the subsidy period effective and termination dates and sent back to the Plan Sponsor in the response file (see layouts below). The response records will contain all the original fields sent by the Plan Sponsor plus the subsidy dates and reason code. The response file will be transmitted back in the same manner the Plan Sponsor submitted the original file. Multiple responses can be received by the Plan Sponsor for one retiree in the event that there is a break in valid periods of subsidy depending on Medicare entitlement. If a retiree has breaks in Plan Sponsor coverage, the plan sponsor should send multiple records for that individual with coverage effective and termination dates that reflect the appropriate periods of coverage. ***Response files must be processed by Plan Sponsors and subsidy periods posted in their internal systems so that the appropriate payment calculations can be performed!***

RDS will populate the determination indicator with a Y or N on the response records to indicate whether a retiree record was accepted. For an add or update record a Y indicates that the retiree was accepted for the subsidy and a subsidy period is posted at RDS and on the MBD. However you also need to check the subsidy period dates and the reason code to see the actual time period the subsidy can be claimed in case RDS created a shorter period than reflected in your coverage dates. The reason code will indicate why the subsidy period is shortened or changed. For an add or update record a N indicates that the record was not accepted due to an error or the fact that a retiree is not eligible. An N determination will always be accompanied by a corresponding reason code. Please refer to the reason code list following the file layouts below.

For a delete record, a determination indicator of Y means that the delete was accepted and applied. A determination indicator of N means that either no match was found on the RDS database for the delete transaction or there was an error on the record. A corresponding reason code will be posted to the response record.

Only one reason code will be posted on the response records at this time.

If a retiree's coverage with the Plan Sponsor ends due to death or dis-enrollment from the plan, then the Plan Sponsor must send an update record with a coverage termination date reflecting the date the individual no longer has coverage. This record should be submitted with a transaction type of "UPD". In the case that a Plan Sponsor sent a record erroneously for a retiree who should not be claimed for the subsidy, then a delete record should be sent for that retiree with a value of "DEL" in the transaction type field.

If a retiree changes benefit option during the year, the Plan Sponsor should send two records to RDS on a monthly update file – one as an update transaction with a termination date for the original benefit option and another as an add record (“ADD” in the transaction type) with the appropriate coverage effective and termination dates for the second benefit option. If you need to correct the benefit option or any other information sent previously, just send one update record with the corrected information. RDS will match records being sent to previously submitted records by matching application ID, SSN or HICN, coverage effective date, and unique benefit option identifier. However, all fields must be completed on the retiree record as indicated in the layouts below for every add, delete and update record submitted.

The response file layout will also be used by RDS to send notifications back to the Plan Sponsor when:

- A retiree who has been accepted for the subsidy has tried to sign up for Part D. Initially the retiree will be rejected for Part D by Medicare and the Part D Plan and the Plan Sponsor claiming the subsidy should try to educate the retiree that they already have comparable coverage and do not need additional coverage under Part D.
- A retiree has overridden the initial rejection and actually enrolled in Part D. In this case, RDS will terminate the subsidy period and send the updated subsidy dates and a reason code to the Plan Sponsor.
- A retiree’s Medicare entitlement changes or is corrected. RDS will send a change to the subsidy period with a reason code if the period is deleted or shortened. In the case where a retiree was initially rejected for the subsidy and it now appears they may be eligible, RDS will NOT post a subsidy period but will send the Plan Sponsor a notification with a reason code indicating that they may want to resubmit this retiree for reconsideration if they are still covered by the Plan Sponsor’s plan.

RDS will send emails to the Plan Sponsor when response and notification files are received. The notification process will start November 1, 2005. RDS will begin sending regular retiree response files August 15, 2005. Response file processing will take 3 to 5 business days. Responses and notifications will be sent on separate files.

Retiree Lists from Plan Sponsors to RDS via Mainframe to Mainframe Connect:Direct using AT&T Global Network Services (AGNS)

Some setup is required for the Mainframe to Mainframe Connect:Direct transmissions. The time frames for the Connect:Direct setup vary depending on the Plan Sponsor's current use of AGNS.

- For Plan Sponsors with an existing AGNS account and an existing connection to GHI, the setup will take 1 to 2 weeks.
- For Plan Sponsors with an existing AGNS account but no existing connection to GHI, the setup will take 1 to 2 months.
- For Plan Sponsors without an existing AGNS account, the setup will take 2 to 3 months.

- One header record, one or more detail (retiree) records and one trailer record
- Fixed length file / records
- Fixed field lengths
- Unless otherwise stated, all fields are required and defined as alpha numeric (Cobol PIC X) and left justified

Header Record		
Data element	Size	Notes
Record type	01	"H"
Application Number	10	Number assigned to the application by RDS Secure Website. Include leading zeroes as needed to completely fill field.
Creation date	08	Date file was created. CCYYMMDD
Creation time	06	Time of day file was created. HHMMSS
Filler	175	Fill with spaces

Detail Record		
Data element	Size	Notes
Record type	01	"D"
SSN	09	Social Security Number for each individual whom the Plan Sponsor is seeking the subsidy. May contain spaces if HICN is provided.
HICN	12	Medicare Health Insurance Claim Number for each individual whom the Plan Sponsor is seeking the subsidy. May contain spaces if SSN is provided.
First name	30	
Middle initial	01	Optional
Last name	40	
Date of birth	08	CCYYMMDD
Gender	01	0=unknown, 1=male, 2=female

Coverage effective date	08	Start date of coverage under the Plan Sponsor's prescription drug benefit option. CCYYMMDD
Coverage termination date	08	End date of coverage under the Plan Sponsor's prescription drug benefit option. CCYYMMDD. If coverage is ongoing, fill with 99999999.
Unique Benefit Option Identifier	20	Group number corresponding to the benefit option for the retiree; RX group number assigned by benefit option administrator or plan sponsor defined. Must match one of the benefit options on the application.
Relationship to Retiree	02	01=self, 02=spouse, 03=other
Transaction Type	03	ADD, UPD, DEL
Filler	57	Fill with spaces

Trailer Record		
Data element	Size	Notes
Record type	01	"T"
Application Number	10	Number assigned to the application by RDS Secure Website. Include leading zeroes as needed to completely fill field.
Creation date	08	Date file created. CCYYMMDD
Creation time	06	Time file created. HHMMSS
Number of detail records	07	Pic 9(07) in Cobol. Right justified and zero filled.
Filler	168	Fill with spaces

Retiree List Responses from RDS to Plan Sponsors via Mainframe to Mainframe Connect:Direct using AT&T Global Network Services (AGNS)

- One header record, one or more detail (retiree) records and one trailer record
- Fixed length file / records
- Fixed field lengths
- Unless otherwise stated, all fields are defined as alpha numeric (Cobol PIC X) and left justified

Header Record		
Data element	Size	Notes
Record type	01	"H"
Application Number	10	Number assigned to the application by RDS Secure Website. Includes leading zeroes as needed to completely fill field.
Creation date	08	Date file created. CCYYMMDD
Creation time	06	Time file created. HHMMSS
Filler	175	Spaces

Detail Record		
Data element	Size	Notes
Record type	01	"D"
SSN	09	Social Security Number for each individual whom the Plan Sponsor is seeking the subsidy. May contain spaces if HICN is provided
HICN	12	Medicare Health Insurance Claim Number for each individual whom the Plan Sponsor is seeking the subsidy. May contain spaces if SSN is provided.
First name	30	
Middle initial	01	Optional
Last name	40	
Date of birth	08	CCYYMMDD
Gender	01	0=unknown, 1=male, 2=female
Coverage effective date	08	Start date of coverage under the Plan Sponsor's prescription drug benefit option. CCYYMMDD
Coverage termination date	08	End date of coverage under the Plan Sponsor's prescription drug benefit option. CCYYMMDD. If coverage is ongoing, fill with 99999999.
Unique benefit option identifier	20	Group number corresponding to the benefit option for the retiree; RX group number assigned by benefit option administrator or plan sponsor defined. Must match one of the benefit options on the application.
Relationship to retiree	02	01=self, 02=spouse, 03=other
Transaction Type	03	ADD, UPD, DEL
Determination Indicator	01	Y = Yes, the record was accepted by RDS N = No, the record was rejected by RDS due to error, no match, or not eligible for subsidy
Reason Code	02	See list provided. Will be present when determination indicator is Y but subsidy period is less than coverage period. Will be present when determination indicator is

		N.
Subsidy Period Effective date	08	CCYYMMDD. The effective date that the retiree can be claimed under the subsidy.
Subsidy Period Termination date	08	CCYYMMDD. The termination date that the retiree can be claimed under the subsidy.
Filler	38	

Trailer Record		
Data element	Size	Notes
Record type	01	"T"
Application Number	10	Number assigned to the application by RDS Secure Website. Includes leading zeroes as needed to completely fill field.
Creation date	08	Date file was created. CCYYMMDD
Creation time	06	Time file was created. HHMMSS
Number of detail records	07	Pic 9(07) in Cobol. Right justified and zero filled.
Filler	168	

Retiree Lists from Plan Sponsors to RDS – Upload file via the secure website (HTTPS)

- Detail (retiree) records only (no header/trailer)
- Comma separated CSV file as generated by Excel
- Unless otherwise stated, all fields are required

Retiree Record (CSV format)		
Data element	Max size	Notes
Application Number	10	Number assigned to the application by RDS Secure Website. Include leading zeroes as needed to completely fill field.
SSN	09	Social Security Number for each individual whom the Plan Sponsor is seeking the subsidy. May contain spaces if HICN is provided.
HICN	12	Medicare Health Insurance Claim Number for each individual whom the Plan Sponsor is seeking the subsidy. May contain spaces if SSN is provided.
First name	30	
Middle initial	01	Optional
Last name	40	
Date of birth	08	CCYYMMDD.
Gender	01	0=unknown, 1=male, 2=female.
Coverage effective date	08	Start date of coverage under the Plan Sponsor's prescription drug benefit option. CCYYMMDD
Coverage termination date	08	End date of coverage under the Plan Sponsor's prescription drug benefit option. CCYYMMDD. If coverage is ongoing, fill with 99999999.
Unique benefit option identifier	20	Group number corresponding to the benefit option for the retiree; RX group number assigned by benefit option administrator or plan sponsor defined. Must match one of the benefit options on the application.
Relationship to retiree	02	01=self, 02=spouse, 03=other
Transaction type	03	ADD, UPD, DEL

Retiree List Responses from RDS to Plan Sponsors – Download file via the secure website (HTTPS)

- Detail (retiree) records only (no header/trailer)
- Comma separated CSV file as generated by Excel
- Unless otherwise stated, all fields are required

Retiree Record (CSV format)		
Data element	Max size	Notes
Application Number	10	Number assigned to the application by RDS Secure Website. Includes leading zeroes as needed to completely fill field.
SSN	09	Social Security Number for each individual whom the Plan Sponsor is seeking the subsidy. May contain spaces if HICN is provided.
HICN	12	Medicare Health Insurance Claim Number for each individual whom the Plan Sponsor is seeking the subsidy. May contain spaces if SSN is provided.
First name	30	
Middle initial	01	
Last name	40	
Date of birth	08	CCYYMMDD.
Gender	01	0=unknown, 1=male, 2=female.
Coverage effective date	08	Start date of coverage under the Plan Sponsor's prescription drug benefit option. CCYYMMDD
Coverage termination date	08	End date of coverage under the Plan Sponsor's prescription drug benefit option. CCYYMMDD. If coverage is ongoing, fill with 99999999.
Unique benefit option identifier	20	Group number corresponding to the benefit option for the retiree; RX group number assigned by benefit option administrator or plan sponsor defined. Must match one of the benefit options on the application.
Relationship to retiree	02	01=self, 02=spouse, 03=other
Type of record	03	ADD, UPD, DEL
Determination Indicator	01	Y = Yes, the record was accepted by RDS N = No, the record was rejected by RDS due to error, no match, or not eligible for subsidy
Reason Code	02	See list provided. Will be present when determination indicator is Y but subsidy period is less than coverage period. Will be present when determination indicator is N.
Subsidy Period Effective date	08	CCYYMMDD. The effective date that the retiree can be claimed under the subsidy.
Subsidy Period Termination date	08	CCYYMMDD. The termination date that the retiree can be claimed under the subsidy.

Reason Codes

- 01 Application did not meet filing deadline
- 02 Invalid Application number
- 03 Invalid last name
- 04 Invalid first name
- 05 Invalid date of birth
- 06 Invalid gender
- 07 Invalid coverage effective date
- 08 Invalid coverage termination date
- 09 Invalid unique benefit option identifier
- 10 Enrolled in Part D
- 11 Not eligible for Medicare
- 12 Beneficiary is deceased
- 13 Invalid HICN or SSN
- 14 Termination date is less then effective date
- 15 Missing Trailer record
- 16 Not a valid Medicare Beneficiary
- 17 No coverage period exists for delete transaction
- 18 Invalid action type
- 19 Invalid relationship code
- 20 Beneficiary attempted to enroll in Part D and received initial rejection
- 21 New Medicare Information has been received. Resend record